



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/830742	YOSHIDA	J
SONYJP-124		
INTERNATIONAL APPLICATION NO.		
PCT/JP00/05884		
LA. FILING DATE	PRIORITY DATE	
30 AUG 00	01 SEP 99	

ROBERT B COHEN  
LERNER DAVID LITTENBERG KRUMHOLZ & MENTL  
600 SOUTH AVENUE WEST  
WESTFIELD, NJ 07090

DATE MAILED: 17 AUG 2001

NOTIFICATION OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C. 371  
AND 37 CFR 1.494 OR 1.495

1. The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as ☒ a Designated Office (37 CFR 1.494), ☐ an Elected Office (37 CFR 1.495), has determined that the above-identified international application has met the requirements of 35 U.S.C. 371, and is **ACCEPTED** for national patentability examination in the United States Patent and Trademark Office.

2. The United States Application Number assigned to the application is shown above and the relevant dates are:

03 AUG 2001	03 AUG 2001
DATE OF RECEIPT OF	DATE OF RECEIPT OF ALL
35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above-identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

3. ☒ A request for immediate examination under 35 U.S.C. 371(f) was received on 30 APR 2001 and the application will be examined in turn.

RECEIVED

JUL 16 2002

GROUP 3600

4. The following items have been received:

- ☒ U.S. Basic National Fee.
- ☒ Copy of the international application.
- ☒ Translation of the international application into English.
- ☒ Oath or Declaration of inventor(s).
- ☐ Copy of Article 19 amendments. ☐ Translation of Article 19 amendments into English.  
The Article 19 amendments ☐ have ☐ not been entered.
- ☐ The International Preliminary Examination Report in English and its Annexes, if any.
- ☐ Copy of the Annexes to the International Preliminary Examination Report (IPER).  
☐ Translation of Annexes to the IPER into English.  
The Annexes ☐ have ☐ not been entered.
- ☐ Preliminary amendment(s) filed \_\_\_\_\_ and \_\_\_\_\_
- ☒ Information Disclosure Statement(s) filed 30 APR 2001 and \_\_\_\_\_
- ☐ Assignment document.
- ☐ Power of Attorney and/or Change of Address.
- ☐ Substitute specification filed \_\_\_\_\_
- ☐ Indication of Small Entity Status.
- ☒ Priority Document.
- ☒ Copy of the International Search Report ☒ and copies of the references cited therein.
- ☐ Other:

COPY OF PAPERS  
ORIGINALLY FILED

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5).

Fred Smith

Telephone: 703-305-3654

FORM PCT/DQ/EO/903 (March 2001)

RECEIVED

AUG 21 2001

LDLK&amp;M

017  
JUL 09 2002  
TRADEMARK OFFICE

3624 #9  
11/14/02

LAW OFFICES

LERNER, DAVID, LITTENBERG, KRUMHOLZ & MENTLIK, LLP

600 SOUTH AVENUE WEST  
WESTFIELD, NEW JERSEY 07090-1497

(908) 654-5000  
FAX: (908) 654-7866  
www.ldlkm.com

PATENTS, TRADEMARKS AND COPYRIGHTS

THOMAS M. PALISI  
KIMBERLY V. PERRY  
LYNNE A. BORCHERS  
MICHAEL J. DOHERTY  
MATTHEW B. DEHNIER  
J. KIRKLAND DOUGLASS  
JEANNE P. VALLEBUONA  
EDWARD D. PERGAMENT  
FRANK J. CHESKY III  
WILLIAM SMITH  
LANCE Y. LIU  
MICHAEL D. BRAUNSTEIN\*  
SCOTT E. CHARNEY  
LAWRENCE E. RUSS  
APRIL M. MAYO\*  
KONSTANTIN A. CAPLOON  
ORVILLE R. COCKINGS

OF COUNSEL  
LAWRENCE I. LERNER  
DANIEL H. BOBIS  
RAYMOND W. AUGUSTIN  
HARVEY L. COHEN  
GLEN M. DIEHL

PATENT AGENT  
ANDREW T. ZIDEL

SIDNEY DAVID  
JOSEPH S. LITTENBERG  
ARNOLD H. KRUMHOLZ  
WILLIAM L. MENTLIK  
JOHN R. NELSON  
ROY H. WEPNER  
STEPHEN B. GOLDMAN  
CHARLES P. KENNEDY  
PAUL H. KOCHANSKI  
MARCUS J. MILLET  
BRUCE H. SALES  
ARNOLD B. DOMPIERI  
KEITH E. GILMAN  
ROBERT B. COHEN  
MICHAEL H. TESCHNER  
GREGORY S. GEWIRTZ  
JONATHAN A. DAVID  
SHAWN P. FOLEY\*  
JEFFREY S. DICKEY  
STEPHEN F. ROTH

\*NORTH CAROLINA BAR ONLY  
\*TEXAS BAR ONLY  
\*MARYLAND BAR ONLY

July 3, 2002

COPY OF PAPERS  
ORIGINALLY FILED

Commissioner For Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Re: Our File: SONYIT 3.3-124  
Appln. No. 09/830,742  
Filing Date: August 3, 2001  
Group Art Unit: 3624

RECEIVED  
JUL 16 2002  
GROUP 3600

Dear Sir:

We are enclosing herewith a copy of the filing receipt for the above-identified patent application.

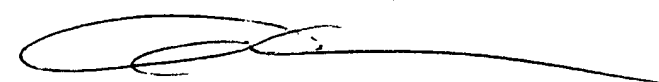
Please note that the correct **Filing Date** should read --**08/03/2001**--, not "**01/03/2001**." As proof of this change, please refer to copies of the enclosed documents:

- Express Mail Label Number EL807550914US, which shows a "Date In" of "**8/3/01**";
- Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, which shows a submission date of "**August 3, 2001**"; and
- Notification of Acceptance of Application Under 35 U.S.C. 371 and 37 CFR 1.494 or 1.495, which shows a "Date of Receipt" of "**03 AUG 2001**."

Kindly issue a corrected filing receipt for the above-identified application as soon as possible.

Sincerely yours,

LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK, LLP



ARNOLD H. KRUMHOLZ  
Reg. No. 25,428

AHK:ls  
Enclosures  
376682\_1.DOC



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON D C 20531  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/830,742	01/03/2001	3624	1488	SONY JP 33 124	8	21	9

000530  
LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK  
600 SOUTH AVENUE WEST  
WESTFIELD, NJ 07090

**COPY OF PAPERS  
ORIGINALLY FILED**

CONFIRMATION NO. 2022  
CORRECTED FILING RECEIPT



\*OC000000008285490\*

Date Mailed: 06/13/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Jun Yoshida, Tokyo, JAPAN;  
Kazuo Imai, Tokyo, JAPAN;  
Hideto Hamada, Tokyo, JAPAN;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/JP00/05884 08/30/2000

## Foreign Applications

JAPAN P11-247620 09/01/1999

If Required, Foreign Filing License Granted 06/13/2002

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

Title

**RECEIVED**

JUL 16 2002

**GROUP 3600**

**LDLK&M**  
JUN 21 2002  
**RECEIVED**

## Electronic goods-purchasing method and commercial-transaction apparatus therefor

## Preliminary Class

705

---

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

---

**COPY OF PAPERS**  
**ORIGINALLY FILED**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**RECEIVED**

JUL 16 2002

GROUP 3200



\*\*\*\*\* WELCOME TO \*\*\*\*\*  
WESTFIELD POST OFFICE

Welcome to the Westfield Post Office  
Memorial Day is Monday, May 28th, 2001  
08/03/01 04:35PM

Store USPS Trans 136  
Wkstn sys5005 Cashier KMF28P  
Cashier's Name CHEYANN  
Stock Unit Id SIACHYANN  
PO Phone Number 908-233-1167

COPY OF PAPERS  
ORIGINALLY FILED

1. Exp. Mail PO-ADD 0.00  
Destination: 20231  
Weight: 3.20oz  
Postage Type: None  
Total Cost: 12.45  
Base Rate: 12.45  
Label#: EL807550914US  
Corporate Acct.: 070255  
Amount Charged: 12.45

Subtotal 0.00  
Total 0.00

RECEIVED

JUL 16 2002

GROUP 3600

Number of Items Sold: 1

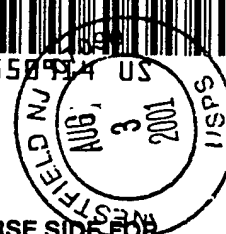
Postal Employees Salute all Veterans  
Kenneth A. Brown, Postmaster



POST OFFICE  
TO ADDRESSEE



EL 807550914 US



SEE REVERSE SIDE FOR  
SERVICE GUARANTEE AND LIMITS  
ON INSURANCE COVERAGE

ORIGIN (POSTAL USE ONLY)		
PO ZIP Code 07090	Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date in 8 3 01 Day Year	<input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$12.45
Time in <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM	<input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
Weight 3.2 lbs.	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials AB	Total Postage & Fees \$12.45

<input type="checkbox"/> WAIVER OF SIGNATURE (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.		
NO DELIVERY <input type="checkbox"/>	Weekend <input type="checkbox"/>	Holiday <input type="checkbox"/>
Customer Signature		

CUSTOMER USE ONLY	
METHOD OF PAYMENT: X070255	
Express Mail Corporate Acct. No.	Federal Agency Acct. No. or Postal Service Acct. No. Service ID - 104
FROM: (PLEASE PRINT) LERNER DAVID LITTENBERG KRUNHOLZ & MENTLIK, LLP 600 SOUTH AVE W WESTFIELD NJ 07090-1404	TO: (PLEASE PRINT) BOX PCT COMMISSIONER FOR PATENTS WASHINGTON DC 20231-9998

FOR PICKUP OR TRACKING CALL 1-800-222-1811 www.usps.com



Customer Copy  
Label 11-F August 2000

FD  
T1

87

SONYJP-124

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/830,742

INTERNATIONAL APPLICATION NO.  
PCT/JP00/05884INTERNATIONAL FILING DATES  
30 AUGUST 2000PRIORITY DATE CLAIMED  
1 SEPTEMBER 1999TITLE OF INVENTION ELECTRONIC GOODS-PURCHASING METHOD AND COMMERCIAL-  
TRANSACTION APPARATUS THEREFORAPPLICANT(S)  
FOR DO/EO/US

Jun YOSHIDA, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371 (f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not transmitted by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (Executed)
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

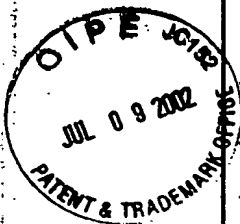
**Items 11. to 16. below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. w/PTO-1449, \_\_ references
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 & 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) &amp; Copy of Notification of a Defective Oath or Declaration

COPY OF PAPERS  
ORIGINALLY FILEDEXPRESS MAIL LABEL NO. EL807550914USDATE: August 3, 2001

EL807550914US



RECEIVED

JUL 16 2002

GROUP 3600

U.S. PATENT & TRADEMARK OFFICE  
JUL 09 2002

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 09/830,742		INTERNATIONAL APPLICATION NO. PCT/JP00/05884	ATTORNEY'S DOCKET NUMBER SONYJP-124
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,000.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00			<b>CALCULATIONS PTO USE ONLY</b>  <b>RECEIVED</b> JUL 16 2002 <b>GROUP 3600</b>
ENTER APPROPRIATE BASIC FEE AMOUNT =			
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).			\$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	- 20 =		x \$18.00
Independent claims	- 3 =		x \$80.00
MULTIPLE DEPENDENT CLAIM(s) (if applicable)			+ \$270.00
TOTAL OF ABOVE CALCULATIONS =			\$130.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.			
SUBTOTAL =			\$130.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			+
TOTAL NATIONAL FEE =			\$130.00
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) (\$40.00 per property).			+
TOTAL FEES ENCLOSED =			\$130.00
			Amount to be: Refunded Charged
a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed.			
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 12-1095 in the amount of \$130.00 to cover the above fees. A duplicate copy of this sheet is enclosed.			
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to my Deposit Account No. 12-1095. A duplicate copy of this sheet is enclosed.			
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.			
SEND ALL CORRESPONDENCE TO:			
Lerner, David, Littenberg, Krumholz & Mentlik, LLP 600 South Avenue West Westfield, NJ 07090 Telephone 908 654-5000 Facsimile 908 654-7866		Signature ROBERT B. COHEN Name 32,768 Registration Number	
COPY OF PAPERS ORIGINALLY FILED			